

EFFECTIVE DATE

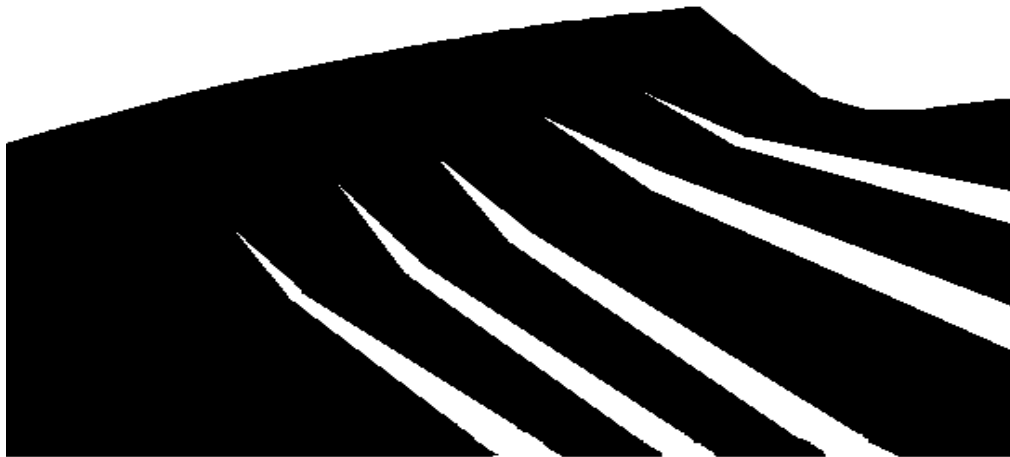
May 9, 1996

LANL-YMP-QP-18.2, R6

Page 1 of 6

SURVEYS

LOS ALAMOS QUALITY PROGRAM



APPROVAL FOR RELEASE

P. F. GILLESPIE - PREPARER

Signature on file

DATE

M. J. CLEVINGER - QUALITY ASSURANCE PROJECT LEADER

Signature on file

DATE

J. A. CANEPA - TECHNICAL PROJECT OFFICER

Signature on file

DATE

Los Alamos
Yucca Mountain Site
Characterization Project

HISTORY OF REVISIONS

REVISION NO.	EFFECTIVE DATE	PAGES REVISED	REASON FOR CHANGE
R0	03/10/89	N/A	Initial procedure.
R1	03/12/90	2 & 3	To incorporate Change Request No. 103.
R2	05/30/90	All	To better clarify the process
R3	01/31/94	All	Completely rewritten to improve process and incorporate new QARD requirements.
R4	03/22/94	4	Modification of the survey number format to better document multiple surveys of an individual organization.
R5	07/31/95	3-6, Att. 3	To simplify the reporting process and to allow for recommendations.
R6	05/09/96	4 & 6	Minor non-substantive editorial changes that address revised QARD requirements.

Los Alamos

Yucca Mountain Site

Characterization Project

SURVEYS

1.0 PURPOSE

This procedure describes the process for performing surveys on Los Alamos National Laboratory (Los Alamos) Yucca Mountain Site Characterization Project (YMP) activities.

2.0 SCOPE

2.1 This procedure governs surveys performed on Los Alamos YMP.

2.2 This procedure applies to all Los Alamos and Los Alamos subcontractor YMP personnel (hereafter referred to as YMP personnel) who work under the Los Alamos YMP quality assurance program.

3.0 REFERENCES

AP-16.1Q, Performance/Deficiency Reporting
AP-16.2Q, Corrective Action and Stop Work
LANL-YMP-QP-17.6, Records Management

4.0 DEFINITIONS

4.1 Deficiency

A deficiency is a state of noncompliance with quality assurance program requirements. Deficiencies may be documented as Performance Reports, Deficiency Reports, or Corrective Action Reports as defined in AP-16.1Q or AP-16.2Q.

4.2 Objective Evidence

Objective evidence is any documented fact, other information, or record, either quantitative or qualitative, pertaining to the quality of an activity based on verifiable observations, measurements, or tests.

4.3 Recommendation

A recommendation identifies a work condition that could be changed to improve the overall effectiveness or efficiency of a process.

4.4 Survey

The act of observing real-time activities and/or reviewing documentation to verify conformance with specified requirements and to evaluate their adequacy and effectiveness.

5.0 RESPONSIBILITIES

The following employees are responsible for activities identified in Section 6.0 of this procedure.

- Verification Coordinator
- Survey leader
- Survey team members

6.0 PROCEDURE

The use of this procedure must be controlled as follows:

- If this procedure cannot be implemented as written, YMP personnel should notify appropriate supervision. If it is determined that a portion of the work cannot be accomplished as described in this QP, or would result in an undesirable situation, that portion of the work will be stopped and not resumed until this procedure is modified or replaced by a new document that reflects the current work practice.
- Employees may use copies of this procedure printed from the controlled document electronic file; however, employees are responsible for assuring that the correct revision of this procedure is used.
- When this procedure becomes obsolete or superseded, it must be destroyed or marked “superseded” to ensure that this document is not used to perform work.

6.1 The **Verification Coordinator** ensures that surveys are performed, as necessary, to accomplish the following tasks.

- 6.1.1 To verify the quality of work in-progress. The effectiveness and efficiency of in-progress work is evaluated to measure the overall quality of the work being performed.
- 6.1.2 Review of completed work to verify compliance with implementing procedures.
- 6.1.3 To verify that prompt corrective action is taken by management responsible for performing the work.
- 6.1.4 To verify the timely implementation, adequacy, and effectiveness of corrective action.

6.2 The **Verification Coordinator** assigns a survey leader and, if necessary, a survey team with the following qualifications.

- 6.2.1 Knowledge of the work to be surveyed.
- 6.2.2 Not directly responsible for the work to be surveyed.

- 6.3 The **Verification Coordinator** assigns a survey number using the following format: LA-SR-ORG-yy-zz where ORG is the surveyed Los Alamos or subcontractor group, yy is the calendar year during which the survey was conducted, and zz is a sequential number beginning with 01 for the first survey conducted during the year (e.g., LA-SR-EES-13-94-01).
- 6.4 The **survey leader** determines the purpose and scope of the survey and, if applicable, briefs the survey team on the details of the survey and assigns each member a survey responsibility.
- 6.5 The **survey leader** may notify the supervisor of the surveyed organization of the survey, or it may be unannounced.
- 6.6 The **survey leader** may conduct a presurvey meeting with representatives of the surveyed organization to brief them on the survey's details, to arrange for contacts between the surveyed organization and the survey team, and to arrange a time for the postsurvey meeting.
- 6.7 The **survey leader** and, if applicable, **survey team members** perform the following steps.
- 6.7.1 Perform the survey using copies of requirements or implementing documents, Survey Checklists (Attachment 1), or other suitable documentation.
 - 6.7.2 Record the survey's findings on the Survey Checklist Results (Attachment 2) or other suitable documentation that provides a clear, comprehensible summary, which may be included in the Survey Report.
 - 6.7.3 The **survey leader** may advise the surveyed organization to correct identified deficiencies that require only remedial action.
 - 6.7.4 Initiate a report according to AP-16.1Q or AP-16.2Q for identified deficiencies that were not corrected during the survey.
 - 6.7.5 Make recommendations for improvement in the effectiveness and efficiency of work in-progress, as appropriate.
- 6.8 The **survey leader** notifies the supervisor of the surveyed organization of any conditions that require immediate corrective action.
- 6.9 The **survey leader**, after the survey is completed, informs the representatives from the surveyed organization of the results of the survey, including any identified recommendations or deficiencies.
- 6.10 Survey Reports
- 6.10.1 The **survey leader** prepares a Survey Report using the format shown on Attachment 3. The executive summary is optional and is completed at the discretion of the survey leader.

- 6.10.2 The **survey leader** signs and dates the Survey Report and forwards a copy to the Verification Coordinator .
- 6.10.3 The **Verification Coordinator** reviews, signs, and dates the Survey Report, then forwards a copy to the supervisor of the surveyed organization.
- 6.10.4 The **survey leader** forwards copies of any deficiencies, generated by subsection 6.7.4, to the appropriate deficiency coordinator.
- 6.10.5 The **survey leader** transmits the records identified in Section 7.0 to the Records Processing Center according to QP-17.6.

7.0 RECORDS

The following records resulting from this procedure are transmitted as a record package.

- Survey Report
- Pertinent correspondence pertaining to the Survey Report

8.0 TRAINING REQUIREMENTS

- 8.1 Prior to conducting work described in Section 6.0, the Verification Coordinator, the survey team leader, and survey team members require training to this procedure.
- 8.2 Training is accomplished by “read only.”

9.0 ATTACHMENTS

NOTE: The forms shown for Los Alamos YMP Survey Checklist and Los Alamos YMP Survey Checklist Results are suggested formats. Other formats may be used, but should contain, at a minimum, the information contained on Attachments 1 and 2.

Attachment 1: Los Alamos YMP Survey Checklist (1 page)

Attachment 2: Los Alamos YMP Survey Checklist Results (2 pages)

Attachment 3: Survey Report format (3 pages)

LOS ALAMOS YMP SURVEY CHECKLIST

SURVEY NO: _____ ORG SURVEYED: _____ DATE(S) OF SURVEY: _____

DOCUMENT/REVISION IN WHICH REQUIREMENTS OR INSTRUCTIONS ARE REFERENCED:

Item No.	Section or Paragraph	Requirement or Instruction
EXAMPLE		

LOS ALAMOS YMP SURVEY CHECKLIST RESULTS - PART 1

SURVEY NO: _____ ORG SURVEYED: _____ DATE(S) OF SURVEY: _____

DOCUMENT/REVISION IN WHICH REQUIREMENTS OR INSTRUCTIONS ARE REFERENCED:

Item No.	Results (S, U, NA)*	Results of Investigation
EXAMPLE		

SURVEYOR'S SIGNATURE: _____
Print name
Signature
Date

*S=Satisfactory, U=Unsatisfactory, NA=Not Applicable

LANL-YMP-QP-18.2

Los Alamos
Yucca Mountain Site
Characterization Project

LOS ALAMOS YMP SURVEY CHECKLIST RESULTS - PART 2

SURVEY NO: _____ ORG SURVEYED: _____ DATE(S) OF SURVEY: _____

DOCUMENT/REVISION IN WHICH REQUIREMENTS OR INSTRUCTIONS ARE REFERENCED:

Individuals Contacted	Objective Evidence Examined
<div data-bbox="556 586 1465 1114" data-label="Text"> <p>EXAMPLE</p> </div>	

SURVEYOR'S SIGNATURE: _____
Print name
Signature
Date

LOS ALAMOS NATIONAL LABORATORY

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT

SURVEY REPORT *SURVEY NUMBER*

(GROUP NAMES)

SURVEY DATES

Prepared By: _____
Survey Leader

Date: _____

Approved By: _____
Verification Coordinator

Date: _____

EXECUTIVE SUMMARY

1.0 SURVEY SCOPE

List the name and location of the organization that was surveyed, the work activities surveyed, and the elements against which the survey was performed.

2.0 SURVEY RESULTS

State the number of identified recommendations or deficiencies and the elements where identified.

3.0 CONCLUSIONS

List the elements where quality assurance program requirements were implemented effectively and those where improvements need to be made. Briefly discuss recommended improvements.

LOS ALAMOS YMP SURVEY REPORT

SURVEY NUMBER

1.0 INTRODUCTION

List the name and location of the organization that was surveyed.

2.0 INDIVIDUALS CONTACTED

List the names of the individuals contacted during the survey.

3.0 SURVEY TEAM MEMBERS

List the name of the survey leader and, if applicable, those of survey team members.

4.0 SURVEY SCOPE AND PURPOSE

List the work activities surveyed and the elements against which the survey was performed. Indicate if the survey was conducted to verify the quality of work in-progress, to identify deficiencies in compliance with implementing documents, to ensure that prompt corrective action was taken by management responsible for performing the work, or to verify the timely implementation of corrective action.

5.0 OBJECTIVE EVIDENCE EXAMINED

List the documents examined during the survey.

6.0 RECOMMENDATIONS

Separately list any recommendations for improvements.

7.0 DEFICIENCIES

7.1 Separately list the numbers and descriptions of deficiency reports initiated.

7.2 Separately list the descriptions of deficiencies corrected during the survey.

8.0 SUMMARY OF SURVEY RESULTS

List the names of the individuals in the surveyed organization who were interviewed and the results of the interviews. Discuss both results of examinations of the objective evidence and of the overall survey. Discuss areas where performance excelled.